

**SECTION 02.07 – INTELLIGENCE OVERSIGHT CHECKLIST**  
**COMMAND INSPECTION CHECKLIST (BN/BDE/DIV)**

UNIT DESIGNATION AND LOCATION \_\_\_\_\_

INSPECTION TEAM CHIEF \_\_\_\_\_ DATE \_\_\_\_\_

**C020700 – Intelligence Oversight**

References: Executive Order 12333, DoDD 5240.1, DoD Regulation 5240.1-R, AR 381-10/ AFI 14-104, AR 20-1/ AFI 90-201, AR 1-201, CNGBI 2000.1, CNGBM 2000.01, CNGBI 0700.01, KSNG SOP 381-10

Unit (Major Subordinate Command, Battalion, Air Wing)				
Administrative		GO	NO-GO	N/A
H020701	Has the Commander established and maintained an effective IO program for all personnel assigned or attached to the organization? (CNGBI 2000.01, Encl A, 3a(4))			
H020702	Has the commander ensured MI personnel and non-MI personnel conducting intelligence activities are fully aware of and comply with their individual responsibilities? (AR 381-10, 1-4p(2); AFI 14-104, 4.7; CNGBI 0700.01, Encl A, 1a)			
H020703	Has the Commander appointed, in writing, experienced intelligence professionals to serve as primary and alternate IO Monitors who hold the appropriate security clearances and accesses and who have complete access to all information necessary to carry out responsibilities and has the appointment letter been posted in the general work area? (AR 381-10, 1-4p(4); AFI 14-104, 4.7.4; CNGBI 2000.01, Encl A, 3a(5); CNGBI 0700.01, Encl A, 1a and 1f(1); JFHQ-KS SOP 381-10, 2-1)			
H020704	<p>Has the IO Monitor maintained an IO Continuity Book, electronic and/or hard copy, containing, at a minimum, copies of: applicable regulations and instructions; Standard Operating Procedures (SOP); training materials and documentation; IO Monitor appointment letters; records of IO SAVs and inspections; annual file review certification; self inspection reports; and Memoranda for Record (MFR)?</p> <p>_____ <b>Appointment letters for primary and alternate IO monitors</b></p> <p>_____ <b>IO monitor duties and responsibilities</b></p> <p>_____ <b>Unit IO training</b></p> <p>_____ <b>IO training records (initial, annual, and pre-deployment)</b></p> <p>_____ <b>Copies of the following IO Reference Documents:</b></p> <p>_____ <b>Executive Order 12333</b> (<i>United States Intelligence Activities</i>)</p> <p>_____ <b>DoD Directive 5148.11</b> (<i>Assistant to the Secretary of Defense for Intelligence Oversight (ATSD(IO))</i>)</p> <p>_____ <b>DoD Directive 5200.27</b> (<i>Acquisition of Information Concerning Persons and Organizations not Affiliated with the Department of Defense</i>)</p> <p>_____ <b>DoD Directive 5240.1 (DoD Intelligence Activities)</b></p> <p>_____ <b>DoD Regulation 5240.1-R, (Procedures Governing the Activities of DoD Intelligence Components that Affect United States Persons)</b></p> <p>_____ <b>AR 381-10 (US Army Intelligence Activities)/ AFI 14-104 (Oversight of Intelligence Activities)</b></p> <p>_____ <b>CNGBI 2000.01 (National Guard Intelligence Activities)</b></p> <p>_____ <b>CNGBM 2000.01 (National Guard Intelligence Activities)</b></p> <p>_____ <b>CNGBI 0700.01 (Inspector General Intelligence Oversight)</b></p> <p>_____ <b>JFHQ-KS SOP 381-10 (Intelligence Oversight Activities)</b></p> <p>_____ <b>Unit IO SOP/Memorandum</b></p> <p>_____ <b>Unit-oriented IO checklist</b></p> <p>_____ <b>Self-inspection and inspection records</b></p>			

	<p> <input type="checkbox"/> QIA process and report format  <input type="checkbox"/> Copies of any QIA reports  <input type="checkbox"/> Annual file review certification MFR  <input type="checkbox"/> Roster of personnel assigned to the intelligence section and personnel with an intelligence MOS/AFSC  <input type="checkbox"/> Intelligence oversight standard briefing and POI  <input type="checkbox"/> Intelligence oversight scenarios  <input type="checkbox"/> Intelligence oversight program helpful information (Frequently Asked Questions, IG Intelligence Oversight User Guide, web site information, helpful ideas)  <input type="checkbox"/> Messages &amp; memoranda related to force protection and intelligence oversight </p> <p>(CNGBI 2000.01, Encl A, 3b(4); CNGBM 2000.01, Encl N; CNGBI 0700.01, Encl A, 1f(2); JFHQ-KS SOP 381-10, 2-3)</p>			
H020705	Has the IO Monitor ensured the State IO policy and applicable references are maintained and available to the organization in hard copy and/or electronic format? (CNGBI 2000.01, Encl A, 3b(5))			
H020706	Has the commander implemented a review process to ensure U.S. person information was collected and retained in accordance with this regulation before transferring files to the Investigative Records Repository or information into intelligence databases? (AR 381-10, 1-4p(5))			
H020707	Has the Commander implemented a review process to ensure U.S. person information incorporated into intelligence databases is maintained in accordance with ARIMS? (AR 381-10, 1-4p(6))			
H020708	Has the IO Monitor reviewed all intelligence files, electronic and paper, at a minimum of once per calendar year to ensure any USPERs information was retained IAW Procedure 4 of DoD 5240.1-R and certified that all files have been reviewed through MFR, which is maintained on file in the IO Continuity Book? (AR 381-10, 3-3c; CNGBI 2000.01, Encl A, 3b(8); CNGBI 0700.01, Encl A, 1f(7))			
H020709	Have quarterly reports been submitted through the chain of command to the State IG? (CNGBI 0700.01, Encl A, 1a; AFI 14-104, 7.3.1; JFHQ-KS SOP 381-10, 2-5)			
H020710	Do quarterly IO reports minimally include the following? (AR 381-10, 15-6d(3); AFI 14-104, 7.3.2; JFHQ-KS SOP 381-10, App B) (a) A description of significant oversight activities undertaken during the quarter. (b) Identification of unlawful or improper activities discovered or reported. (c) Suggestions for improvement of the oversight system.			
H020711	Have employees, supervisors, IO monitors, and/or Commander reported questionable intelligence activity (QIA) that may violate guiding laws or policies through command or inspector general channels to JFHQ-KS IG and JFHQ-KS JA immediately upon discovery? (AR 381-10, 15-2a; AFI 14-104, 7.1.1; CNGBI 2000.01, Encl A, 3b(9) and 3c(5); CNGBM 2000.01, Encl A, 15c(2); JFHQ-KS SOP 381-10, 4-1)			
<b>Training</b>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020712	Is IO training (initial and annual refresher) included in the unit commander's Yearly Training Guidance? (CNGBI 0700.01, Encl A, 1a)			
H020713	Is IO training scheduled on the yearly training schedule and the unit training schedule and documented using the IO training register? (JFHQ-KS SOP 381-10, 2-2e)			

H020714	Has the Commander received IO training? (CNGBI 2000.01, Encl A, 3a(1); AFI 14-104, 4.7.7)			
H020715	<p>Have intelligence personnel completed the organization's IO training within 90 days of assignment/ employment, as well as annual refresher training and pre-deployment training? (CNGBM 2000.01 Encl C, 1b(1); CNGBI 2000.01, Encl A, 3c(4); CNGBI 0700.01, Encl A, 1a and 1f(3); JFHQ-KS SOP 381-10, 2-2b)</p> <p>Has the commander ensured personnel received tailored unit training within 30 days of assignment or employment and refresher training as a part of the routine command training program? (AR 381-10, 14-1b)</p> <p>Have intelligence personnel completed initial IO training within 45 days of assignment/employment, pre-deployment training as needed and annual refresher training? (AFI 14-104, 4.9.3)</p>			
H020716	Have all T-32 personnel with a core intelligence Military Occupational Specialty (MOS) or Air Force Specialty Code (AFSC) regardless of unit mission, duty title, or assignment received IO training? (CNGBM 2000.01 Encl C, 1a(3))			
H020717	Has the IO monitor coordinated with the IG and JA to provide additional training on IO, or other matters affecting intelligence support keyed to organizational missions and responsibilities, specifically Procedures 1 through 4 and 12, 14, and 15? (CNGBM 2000.01 Encl C, 2(a))			
H020718	Has the IO Monitor conducted IO training and maintained records of this training for three calendar years, to include the dates personnel received training? (AFI 14-104, 4.8.1; CNGBI 2000.01, Encl A, 3b(2); CNGBM 2000.01, Encl C, 3)			
H020719	Has the IO monitor provided all personnel refresher IO training at least once every calendar year? (CNGBM 2000.01 Encl C, 1b(2); CNGBI 0700.01, Encl A, 1f(4); KSNG SOP 381-10, 2-2e)			
H020720	Have annual refresher training records been maintained for a period of five years? (CNGBI 0700.01, Encl A, 1f(5); JFHQ-KS SOP 381-10, 2-2i)			
H020721	Has the Commander ensured all personnel assigned or attached to the organization conducting intelligence or intelligence-related activities received required IO training, and know IO statutory and regulatory guidance, to include reporting responsibilities and all restrictions? (AR 381-10, 1-4p(3); AFI 14-104, 4.7.5; CNGBI 2000.01, Encl A, 3a(6))			
H020722	Has the IO Monitor implemented an IO program to educate and train intelligence personnel on applicable IO regulations and directives, as well as individual reporting responsibilities? (CNGBI 2000.01, Encl A, 3b(1); AFI 14-104, 4.8.1)			
H020723	Do the intelligence personnel know the authorized mission of their organization to which assigned? (AFI 14-104, 4.9.1; CNGBI 2000.01, Encl A, 3c(1))			
H020724	Can intelligence personnel identify the organization's IO Monitor and know how to establish contact? (CNGBI 2000.01, Encl A, 3c(6); CNGBI 0700.01, Encl A, 1a)			
H020725	Has the IO Monitor tested personnel to confirm that they can identify, at a minimum, the regulations and instructions governing reporting procedures on QIA and the identity of the IO Monitors? (CNGBI 2000.01, Encl A, 3b(3))			
H020726	Can intelligence personnel identify the contents of Procedures 1-4, 12, 14, and 15 of DoD 5240.1-R, and any other procedures applicable to the assigned unit's mission/discipline, CNGBI 2000.01, and KSSOP 381-10? (CNGBI 2000.01, Encl A, 3c(2); AFI 14-104, 4.9.2)			

<i><b>Inspections</b></i>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020727	Has the IO Monitor performed a self-inspection in the final quarter of the calendar year, if the organization was not evaluated that year by an IG from one of the following organizations: the Assistant to the Secretary of Defense, Intelligence Oversight; Major Command (Army) or MAJCOM (AF); ARNG; ANG; or NGB? (CNGBI 2000.01, Encl A, 3b(6); CNGBM 2000.01, Encl O, 5; AFI 14-104, 4.8.3 and 6.2; JFHQ-KS SOP 381-10, 2-4b)			
H020728	Have copies of self-inspection results been maintained in the IO Continuity Binder? (CNGBM 2000.01, Encl O, 5; JFHQ-KS SOP, 2-4a)			
H020729	Does the Organizational Inspection Program (OIP) include intelligence oversight inspections? (AR 1-201, 3-2a; JFHQ-KS SOP 381-10, 2-4a)			
<b>Counter Drug (CD)</b>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020730	Has the intelligence element provided the raw information and resultant analysis to the Civilian Law Enforcement Agency (CLEA) and not retained the data in intelligence files or databases? (AR 381-10, 12-4; CNGBM 2000.01, Encl A, 12e(2); JFHQ-KS SOP 381-10, 3-6a)			
H020731	Have requests for support requiring approval under procedure 12 been through the P12 (Procedure 12) Memorandum? (CNGBM 2000.01, Encl A, 12f)			
H020732	Are Memoranda of Understanding maintained on file for a minimum of 2 years stating that supported LEAs are responsible for obtaining legal authorization required to permit information gathering? (0700.01, Encl A, 1i(2); JFHQ-KS SOP 381-10, 3-6b)			
H020733	Has IO training, with an emphasis on the handling, protection, distribution, and destruction of U.S. persons information, been included in doctrinal training given to each member at initial entry and repeated annually for all personnel? (CNGBM 2000.01, Encl D, 4b(2)(a); JFHQ-KS SOP 381-10, 3-6c)			
H020734	Has the PAO consulted with the CD coordinator to determine whether news releases would pose OPSEC issues? (CNGBM 2000.01, Encl E, 10d(1))			
<b>Civil Support Team (CST)</b>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020735	Upon completion of operations, has all information or files been redacted of all U.S. persons information before being used in After Action Reports (AARs), Mission Termination Packets, or other follow-up reports? (CNGBM 2000.01, Encl D, 4b(3)(b); CNGBI 0700.01, Encl A, 1j(2); NGR 500-3; JFHQ-KS SOP 381-10, 3-7b)			
H020736	Does the CST have an IO program in place to ensure compliance with law and regulation? (CNGBI 0700.01, Encl A, 1j(3))			
H020737	Does the CST have a unit inspection checklist? (CNGBI 0700.01, Encl A, 1j(3)(a))			
H020738	Does the CST have a binder detailing its IO program? (CNGBI 0700.01, Encl A, 1j(3)(b))			
H020739	Does the CST conduct awareness training on handling information concerning persons or organizations not affiliated with the DoD? (CNGBI 0700.01, Encl A, 1j(3)(c))			
<b>JFHQ-KS</b>				
<i><b>Administrative</b></i>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020740	Has The Adjutant General (TAG) appointed in writing intelligence professionals to be the State intelligence oversight primary and alternate staff officers, and			

	ensure that all intelligence components within the State have an intelligence oversight primary and alternate staff officer? (AR 381-10, 1-4n(2); CNGBI 2000.01, Encl A, 2b(3); JFHQ-KS SOP 381-10, 2-1a)			
H020741	Has the JFHQ-KS generated a P12 Memo and sought approval through NGB-J2 before the execution of a mission? (CNGBM 2000.01, Encl A, 12f)			
H020742	Were Proper Use Memoranda (PUMs) written on the organization letterhead and signed by the organization certifying official, a field grade officer or civilian equivalent? (CNGBM 2000.01, Encl E, 6a(1))			
H020743	Has JFHQ-KS submitted PUMs to NGB-J2 (T-32) or the gaining COCOM, MACOM, or MAJCOM (T-10) before airborne platforms were tasked to collect domestic imagery? (CNGBM 2000.01, Encl E, 3 or 6a(2))			
H020744	Has imagery collected through Remotely Piloted Vehicles (RPVs)/ Unmanned Aircraft Systems (UASs)/ Unmanned Aerial Vehicles (UAVs) been stored without using references to a U.S. person's identifiers and is not retrievable by reference to a U.S. person's identifiers? (CNGBM 2000.01, Encl E, 5a)			
H020745	Has the JFHQ-KS Judge Advocate (JA) reviewed intelligence plans, proposals, and concepts, to include PUMs, for legality and propriety? (CNGBI 2000.01, Encl A, 2d(4))			
H020746	After the conclusion of security operations in support of a Law Enforcement missions, has all non-DoD-affiliated persons' information been purged, destroyed, or provided to the appropriate agency? (CNGBM 2000.01, Encl K, 1g)			
H020747	Do Security, Force Protection (FP), or Law Enforcement (LE) personnel, and not intelligence personnel, lead "information fusion cell" or "threat working group" meetings? (CNGBM 2000.01, Encl K, 1e)			
H020748	Has the PAO consulted with the CD coordinator to determine whether news releases would pose OPSEC issues? (CNGBM 2000.01, Encl E, 10d(1))			
H020749	Has the JFHQ-KS IG submitted quarterly reports to NGB-IO by the 5 <sup>th</sup> day of the month following the end of the quarter? (CNGBI 0700.01, 6b(7)(b))			
<b>Training</b>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020750	Has the JFHQ-KS J2 provided a standard intelligence oversight training brief to each unit and intelligence activity? (JFHQ-KS SOP 381-10, 2-2g)			
H020751	Has the JFHQ-KS J2 ensured all personnel assigned or attached to JFHQ-KS J2 received required IO training, and know IO statutory and regulatory guidance, to include reporting responsibilities and all restrictions? (CNGBI 2000.01, Encl A, 2b(4))			
H020752	Has the JFHQ-KS JA trained members of organizations engaged in intelligence and intelligence-related activities on all laws, policies, treaties, and agreements that apply to their activities, as required? (CNGBI 2000.01, Encl A, 2d(5))			
H020753	Have TAG, director J2, IGs, and JAs received IO Training? (CNGBM 2000.01, Encl C, 1a(7))			
H020754	Have all T-32 military and civilian personnel assigned or attached to JFHQ-KS on a permanent or temporary basis, regardless of military specialty or job function, conducting intelligence or intelligence-related activities received IO training? (CNGBM 2000.01, Encl C, 1a(2))			
H020755	Have all T-32 personnel with a core intelligence Military Occupational Specialty (MOS) or Air Force Specialty Code (AFSC) regardless of duty title or assignment assigned to JFHQ-KS received IO training? (CNGBM 2000.01, Encl C, 1a(3))			

H020756	Have all contractors or consultants assigned or attached to JFHQ-KS, if they are involved in T-32 activities subject to the procedures of DoD 5240.1-R, received IO training? (CNGBM 2000.01, Encl C, 1a(4))			
<b>Inspections</b>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020757	Does the Organizational Inspection Program (OIP) include intelligence oversight inspections? (AR 1-201, 3-2a and 3-2e)			
H020758	Has the JFHQ-KS IG conducted intelligence oversight inspections of intelligence activities and components within the command as part of the Organizational Inspection Program (OIP) in accordance with EO 12333, DOD 5240.1-R, and AR 381-10? (AR 20-1, 1-4b(3)(a))			
H020759	Have intelligence oversight inspections been accomplished as required? (AR 20-1, 5-3a; AR 381-10, 1-4n(3); AFI 14-104, 6; CNGBI 0700.01, 6b(1))			
H020760	Has the JFHQ-KS IG inspected all assigned intelligence components a minimum of once every 2 years? (AR 20-1, 1-4a(3)(a) and 5-3e; CNGBI 0700.01, 6b(1); JFHQ-KS SOP 381-10, 2-4d)			
H020761	Has the JFHQ-KS IG periodically tested personnel within an intelligence organization to confirm whether they can identify regulations governing reporting procedures on QIA and the identity of the IO Officer? (CNGBI 0700.01, Encl A, 1c; JFHQ-KS SOP 381-10, 2-4d)			
H020762	Has the JFHQ-KS IG forwarded copies of IO related findings/ inspection reports to the NGB-IG office? (CNGBI 0700.01, 6b(8))			
<b>Questionable Intelligence Activities (QIA)</b>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020763	Have reports of questionable intelligence activities (QIA) of a serious nature and all Significant/ Highly Sensitive (S/HS) matters been forwarded to the NGB-IG, NGB-JA, or office of the Assistant to the Secretary of Defense for Intelligence Oversight (ATSD (IO))? (AR 381-10, 1-4n(4); CNGBM 2000.01, Encl A, 15c(2); JFHQ-KS SOP 381-10, 4-1b)			
H020764	Has the JFHQ-KS IG reported any QIA to DAIG's Intelligence Oversight Division (SAIG-IO) in accordance with procedure 15, AR 381-10? (AR 20-1, 1-4b(10))			
H020765	Has the JFHQ-KS IG Reported to TIG through DAIG's Intelligence Oversight Division (office symbol SAIG-IO) within 2 working days by secure means any inspector general action request (IGAR) containing an allegation against any person assigned to a Special Access Program (SAP) or sensitive activity as defined in AR 380-381? (AR 20-1, 1-4b5(e))			
<b>INTELLIGENCE OVERSIGHT Totals:</b>				
<b>COMMENTS:</b>				